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Information Disclosure Statement

Atty. Docket No. YOR920010425US1
(590.072)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s)	: CHAUDHARI et al.	Group Art: not yet assigned
Serial No.	: 09/931,316	Examiner: not yet assigned
Filed	: August 16, 2001	
For	: Methods and apparatus for the systematic adaptation of classification systems from sparse adaptation data	

HON. ASSISTANT COMMISSIONER FOR PATENTS
Washington, D.C. 20231

Sir:

This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§ 1.56, 1.97 and 1.98. The items listed

on Form PTO-1449, a copy of which is enclosed, may be deemed to be pertinent to the above-identified application

and are made of record to assist the Patent and Trademark Office in its examination of this application. The

submission of this Information Disclosure Statement shall not be construed as a representation that a search has been

made or that no other items than those identified herein exist. The Examiner is respectfully requested to fully

consider the items and to independently ascertain their teaching.

1. [ ] For each of the following items listed on the enclosed copy of Form PTO-1449 that is not in the English language, an English language translation of that item or a portion thereof or a concise explanation of the relevance of that item is enclosed:

    A:
    B:

2. [ ] For each of the following items listed on the enclosed copy of Form PTO-1449 that is not in the English language, a concise explanation of the relevance of that item is incorporated in the specification of the above-identified application.

3. [ ] Any copy of the items listed on the enclosed copy of Form PTO-1449 that is not enclosed with this Information Disclosure Statement was previously cited by or submitted to the Patent and Trademark Office in the prior [ ] Continuation, [ ]Divisional or [ ] Continuation-In-Part application under 37 C.F.R. § 1.60, U.S. Serial No. _____, filed _____.

4. [X] No fee is due under 37 C.F.R. § 1.17(p) for this Information Disclosure Statement since it is being filed in compliance with:
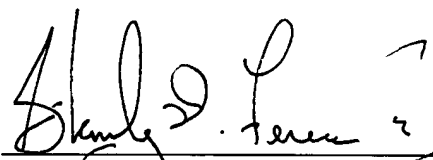
[ ] 37 C.F.R. § 1.97(b)(1), within three months of the filing date of the above-identified application.

[ ] 37 C.F.R. § 1.97(b)(2), within three months of the date of entry into the national stage as set forth in § 1.491 in an international application.

[X] 37 C.F.R. § 1.97(b)(3), before the mailing date of a first Office action on the merits.

5. [ ] No fee is due under 37 C.F.R. § 1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. § 1.97(c), after the period specified in paragraph 4 above but before the mailing date of a final action or a Notice of Allowance (where there has been no prior final action), and is accompanied by one of the verifications pursuant to 37 C.F.R. § 1.97(e) set forth in paragraph 9 below.

6. [ ] A fee is due under 37 C.F.R. § 1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. § 1.97(c), after the period specified in paragraph 4 above but before the mailing date of a final action or a notice of allowance (where there has been no prior final action):

   [ ] A check in the amount of $240.00 is enclosed in payment of the fee.

7. [ ] A fee is due under 37 C.F.R. § 1.17(i) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. § 1.97(d), after the mailing date of a final action or a notice of allowance, whichever comes first, but before payment of the issue fee, and is accompanied by:

   a. one of the certifications pursuant to 37 C.F.R. § 1.97(e) set forth in paragraph 9 below; and

   b. the attached petition requesting consideration of this Information Disclosure Statement; and

   c. the fee due under 37 C.F.R. § 1.17(i) which is paid as set forth in paragraph 10 below.

8. [ ] A fee is due under 37 C.F.R. § 1.17(i) for this Information Disclosure Statement since it is being filed in compliance with:

   a. [ ] 37 C.F.R. §1.313(b)(3), after the issue fee has been paid and information cited in this Information Disclosure Statement may render at least one claim unpatentable and is accompanied by the attached Petition To Withdraw Application From Issue.

   b. [ ] 37 C.F.R. § 1.313(b)(5), after the issue fee has been paid and information cited in this Information Disclosure Statement is to be considered in a Continuation application upon abandonment of the instant application and is accompanied by the attached Petition To Withdraw Application From Issue.

   c. [ ] The fee due under 37 C.F.R. § 1.17(i) is paid as set forth in paragraph 10 below.

9. [ ] I hereby certify that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

[ ] I hereby certify that no item of information in the Information Disclosure Statement filed herewith was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

10. [ ] A check in the amount of $130.00 is enclosed in payment of the fee due under 37 C.F.R. § 1.17(i).

Respectfully submitted,
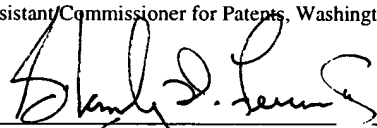
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Dated: _5 October 2001_

By:_____

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CERTIFICATE OF MAILING

I hereby certify that this correspondence and any documents referred to as enclosed therewith are being deposited with the United States Postal Service as first class mail, addressed to the Assistant/Commissioner for Patents, Washington, DC 20231 on 5 October 2001.

_____   _5 October 2001_
Stanley D. Ference III   Date of Signature
Reg. No. 33,879

Please type a plus sign (+) inside this box →

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449B/PTO # INFORMATION DISCLOSURE STATEMENT BY APPLICANT *(use as many sheets as necessary)*				Complete if Known	
				Application Number	09/931,316
				Filing Date	August16, 2001
				First Named Inventor	Upendra V. CHAUDHAR
				Group Art Unit	Unassigned
				Examiner Name	Unassigned
Sheet	1	of	1	Attorney Docket Number	YOR920010425U!

	OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS		
Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T[2]
	A	K. FUKUNAGA, "Introduction to Statistical Pattern Recognition", Academic Press, 2nd Edition, 1990	
	B	U. CHAUDHARI et al., "Transformation Enhanced Multi-Grained Modeling For Text-Independent Speaker Recognition", Proc. of the International Conference on Spoken Language Processing, Beijing 2000	
	C	C.J. LEGGETTER et al., "Speaker Adaptation of HMMS Using Linear Regression", Technical Report TR181, Cambridge University Engineering Dept., Cambridge, England, June 1994	

Examiner Signature		Date Considered	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

[1] Unique citation designation number. [2] Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.